

United States Government

Department of Energy

Oak Ridge Office

# memorandum

DATE: 10-15-07

REPLY TO

ATTN OF: EM-95: Doughty

SUBJECT: ENVIRONMENTAL MANAGEMENT PROCEDURE EM-1.1 REVISION 3,  
CHANGE CONTROL BOARD

TO: Environmental Management Staff, EM-90

The subject procedure, see attached, is issued for your use. Please read and familiarize yourself with it. It will be placed onto the Office of Environmental Management's Office Policies and Procedures Webpage as soon as possible and will be available there for future reference (see <http://www.oakridge.doe.gov/External/Default.aspx?tabid=120>).

If you have any questions or concerns about this procedure, please contact Karen Doughty at 576-8787.

*ABP for SHM*

Stephen H. McCracken  
Assistant Manager for  
Environmental Management

Attachment



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|-------------|--------------------|
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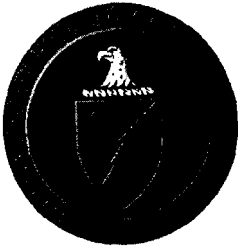
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Stephen H. McCracken  
Assistant Manager for  
Environmental Management

Attachment



**Department of Energy  
Oak Ridge Office  
Environmental Management  
Procedure**



**Change Control Board**

**EM-1.1  
Revision 3**

**Prepared:**

*Karen Doughty for*

**Karen Doughty,  
Business Management Division**

*10/12/07*  
**Date**

**Approved:**

*Stephen H. McCracken for*

**Stephen H. McCracken,  
Assistant Manager for Environmental Management**

*10/12/07*  
**Date**

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## 1.0 PURPOSE

The purpose of the Environmental Management (EM) Program Change Control Board (CCB) is to provide appropriate management control of change to EM Program schedule, cost, and technical baselines. This EM-CCB is primarily applicable to all EM Programs and projects managed or coordinated by the ORR Closure Contractor and the TRU Waste Processing Center Contractor.

## 2.0 SCOPE

This procedure applies to all ORO EM Divisions and Programs and Projects. It includes the following:

Changes which affect any of the following are subject to review and approval by the EM CCB for disposition.

- [1] The contents of this procedure
- [2] The EM cost, schedule, and technical baseline
- [3] The Project Summary Work Breakdown Structure (WBS)
- [4] The EM total estimated cost and total estimated cost for each individual fiscal year by Project Baseline Summary (PBS)
- [5] Program milestones
- [6] Change associated with other Prime Contracts
- [7] Any changes requiring review and approval of the Headquarters (HQ)
- [8] Any increase to total cost associated with HQ Control Points or appropriations
- [9] Any changes to Waste Disposition Maps which will alter map configurations and pathways and/or waste stream inventories.

## 3.0 REFERENCES

DOE Order 413.3A, Program and Project Management for the Acquisition of Capital Assets, dated October 13, 2000.

DOE M 413.3-1, Project Management for the Acquisition of Capital Assets, dated March 28, 2003.

## 4.0 RESPONSIBILITIES

The EM-CCB shall have approval authority to manage changes that affect the items as identified in Section 2.0, except as noted in Appendix C. When a proposed baseline change requires the action of Department of Energy (DOE) HQ approval per the applicable Project Execution Plan (PEP), the EM-CCB Secretary shall coordinate the disposition action after the EM-CCB has recommended an accepted action.

The cost, schedule and technical impact of a change shall be determined prior to submittal of the change to the EM-CCB for consideration.

#### **4.1    MEMBERSHIP**

Membership in the EM-CCB is shown in Appendix D. Responsibilities are addressed below. Alternates for the primary board members shall be appointed to serve in the member's absence.

#### **4.2    MEMBERSHIP RESPONSIBILITY**

All members of the EM-CCB or designated alternate may make recommendations regarding actions and shall participate in the disposition of change actions.

#### **4.3    EM-CCB CHAIRPERSON**

The EM-CCB Chairperson shall be responsible for:

- 4.3.1**    Presiding over the EM-CCB meetings;
- 4.3.2**    The final disposition decision of EM-CCB change actions;
- 4.3.3**    Coordinating EM-CCB Project Baseline Actions requiring DOE-HQ-CCB decision.

#### **4.4    EM-CCB MEMBERS**

The EM-CCB members are responsible for:

- 4.4.1**    Reviewing and evaluating technical, cost, and schedule impact of submitted changes, (including regulatory impacts).
- 4.4.2**    Assuring that full technical, cost, and schedule impact of changes are realistically estimated and identified.
- 4.4.3**    Reviewing change for the attainment of significant technical improvement or of significant schedule improvement or cost reduction.
- 4.4.4**    Reviewing the impact on obligational authority (B/A) (by all fiscal years and total project).
- 4.4.5**    Recommending final change disposition.

#### **4.5 EM-CCB SECRETARY**

The EM-CCB Secretary is responsible for:

- 4.5.1** Coordinating disposition of emergency changes when necessary.
- 4.5.2** Scheduling EM-CCB meetings.
- 4.5.3** Preparing the EM-CCB meeting agenda and issuing announcement of forthcoming meetings, time, and place to all individuals required to attend the meeting.
- 4.5.4** Assuring that the meeting announcement includes Change Proposal information for each item on the agenda.
- 4.5.5** Preparing for the board review at each meeting: (1) the meeting agenda, and (2) a status report of previous actions. The original baseline change control (BCP) packages presented to the Board should have all signatures except that of the DOE ORO CFO member, Project Director Members, and the DOE Chairperson; these signatures will be obtained during the board meeting.
- 4.5.6** Publication and distribution of meeting minutes to all affected organizations/individuals within 5 working days of the meeting.
- 4.5.7** Maintenance of the EM-CCB Change Action Log and baseline change proposal packages.
- 4.5.8** Coordination of HQ Baseline Change Proposals as appropriate. HQ BCPs shall be created in accordance with applicable HQ guidance.

#### **5.0 PROCEDURE**

##### **5.1 BOARD MEETINGS**

- 5.1.1** EM-CCB meetings are scheduled as needed, unless directed otherwise by the Chairperson. Notices of EM-CCB meetings, together with Change Proposals and support documentation, will be distributed 1 week prior to the EM-CCB meeting. Change proposals not received by this time will not be considered until the next CCB meeting unless otherwise directed by the chairperson.

**5.1.2** The required approvals for emergency action changes shall normally include all available board members and the affected Program Manager. However, Change Proposals requiring emergency actions may be dispositioned at the discretion of the EM-CCB Chairperson without benefit of a formal EM-CCB meeting. The approval of emergency action changes shall be documented and the change shall be distributed in the normal manner.

**5.1.3** Change Proposals will be presented to the Board by the cognizant DOE Project Director, Team Lead or Program Manager. This may include a presentation by the contractor, or other management personnel to provide supporting information.

**5.1.4** Changes outside current contracts work scope must be submitted to applicable CCB Secretary 5 work days prior to the established change control meeting for that contractor. Changes not provided to the contractor will not be considered until the next CCB meeting.

## **5.2 INTEGRATED EM LIFE CYCLE PROGRAM BASELINE (LCB)**

**5.2.1** Changes to the LCB which will cover all project milestones and commitments shall be managed by the EM-CCB and shall be used by the EM-CCB for controlling changes. Update will be performed as required per applicable thresholds established in the PEPs.

**5.2.2** An EM-CCB Change Action Log shall be maintained for the EM Program in which all change actions are recorded.

## **5.3 EM PROGRAM SCHEDULE BASELINE**

**5.3.1** The EM Program Baseline Milestone List shall be maintained through EM-CCB action if a DOE Regulatory Milestone is impacted.

## **5.4 CCB CHANGE DISPOSITIONS**

**5.4.1** The ORO EM-CCB has approval authority for changes to Capital Asset Projects (CAPs) as identified by the EM CAP List maintained by the Office of Project Management (EM-6). Consistent with the thresholds established in the PEPs for each PBS.

**5.4.2** Board Actions: The CCB shall indicate the disposition of the Change Proposal for each submittal as “approved” or “disapproved”. Change approval shall be based upon recommendations from the EM-CCB member with the Chairperson maintaining veto authority and responsibility for EM-CCB final disposition.



**5.4.3** Approval Actions: The signature of the CCB Chairperson or designee on the EM-CCB Change Proposal cover sheet shall provide authorization for implementation of the change with the exception of changes above the CCB thresholds, requiring HQ authority as identified in the PEP.

**5.4.4** Disapproval Actions: No work associated with a proposed change should be accomplished prior to the EM-CCB action or after a disapproval disposition. Disapproval actions may include deferring for additional study or result in handling the change as a baseline variance.

**5.4.5** Budgets for WBS elements will be changed to incorporate approval of increase or decrease of dollars through Financial Plan Process.

## **6.0 RECORDS**

It is the responsibility of the EM-CCB Secretary to collect and maintain the following records, which are used to record and report the status of EM CCB actions

- 6.1** EM-CCB Change Action Log: Provides the status of all changes submitted to the Board.
- 6.2** EM-CCB Meeting Minutes: Provides a summary of EM-CCB discussion, action items, completed Cost/Schedule/Scope Change Proposal Forms, and disposition of BCPs and other information pertinent to the EM-CCB meeting.
- 6.3** Baseline Change Proposals: Provides change proposal form and supporting information on the proposed changes to schedule, cost or technical baselines.

## **7.0 ATTACHMENTS**

- Appendix A CONTRACTOR BASELINE CHANGE CONTROL THRESHOLDS
- Appendix B PROGRAM CHANGE CONTROL AUTHORITY
- Appendix C ENVIRONMENTAL MANAGEMENT ACQUISITION ADVISORY BOARD CHARTER
- Appendix D EM-CCB MEMBERSHIP

## **APPENDIX A**

### **FISCAL YEAR BASELINE CHANGE CONTROL THRESHOLDS**

| <b>Baseline</b> | <b>Type of Changes</b>   | <b>APPROVAL LEVEL *</b> |            |
|-----------------|--|-------------------------|------------|
|                 |  | <b>II</b>               | <b>III</b> |
| <b>Scope</b>    | WBS Level 4 to Sub-Project Scope**                                   | X                       |            |
|                 | Project Technical Assumptions**                                      | X                       |            |
|                 | Gold Chart Metrics   | X                       |            |
| <b>Schedule</b> | Slips to Closure Project End Date                                    | X                       |            |
|                 | Level II Milestones (DOE Regulatory Agreement)                       | X                       |            |
|                 | Level III Milestones (excluding GFSI)                                |                         | X          |
| <b>Cost</b>     | Any impact to target costs or EM LCB cost                            | X                       |            |
|                 | Scope change impacts   | X                       |            |
|                 | Change impacts to PBS Budgeted cost of work scheduled by fiscal year | X                       |            |

\* Level I - Defined by HQ CCB Procedure (See Appendix C)

\*\* Level II approval is required only for substantive changes (a change in the project objective or a key event is substantive).

**Legend:**

Level II – EM-CCB approval required

Level III – Contractor CCB approval required

## APPENDIX B

### PROGRAM CHANGE CONTROL AUTHORITY

#### **B.1 BASELINE CHANGE**

##### **B.1.1 Baseline Changes Made During the Performance of the Project**

Three levels of change authority are identified to control LCB changes made during the performance of the project,

- Level 1 – DOE HQ
- Level 2 – DOE ORO
- Level 3 – Contractor

All baseline changes for OTHER DOE direct contracts must be processed through EM-CCB.

Changes approved within the contractor level of authority shall be reported to DOE-OR no later than 1 week following the contractor CCB approval.

**U.S. Department of Energy  
Oak Ridge Operations  
Environmental Management**

**Procedure No. EM-1.1 Rev. 3  
Change Control Board Charter**

**Effective Date: TBD Page 10 of 33**

**APPENDIX C – PART 1**

**ENVIRONMENTAL MANAGEMENT ACQUISITION ADVISORY BOARD (EMAAB)  
CHARTER**



Department of Energy

Washington, DC 20585

AUG 16 2007

MEMORANDUM FOR CLAY SELL  
DEPUTY SECRETARY

FROM: JAMES A. FUSPOLI *JAF*  
ASSISTANT SECRETARY FOR  
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Acquisition Executive Authority for Office of  
Environmental Management Cleanup Projects

ISSUE: Acquisition Executive (AE) authority for Office of  
Environmental Management (EM) cleanup projects with a life  
cycle cost of \$1 billion, or greater, currently resides with the  
Deputy Secretary per DOE Order 413.3A. The Assistant  
Secretary for Environmental Management has AE authority for  
EM cleanup projects with a life cycle cost of less than \$1  
billion.

EM cleanup projects include the entire life cycle workscope  
including operations, deactivation and decommissioning, and  
long-term stewardship activities. Unlike construction projects,  
many EM cleanup projects have durations extending out  
beyond 10 years and in some cases over 4 decades.

DISCUSSION: In 2001, EM made the decision to "projectize" its expense  
funded cleanup program workscope. Because a significant  
number of these projects fall into the AE authority level of the  
Deputy Secretary, and because these cleanup projects are  
driven by regulatory agreements, orders, and milestones, it  
precludes real decision making by the Deputy Secretary at the  
Critical Decision points defined in DOE Order 413.3A.

Due to the nature of the work and the long project durations,  
EM cleanup projects follow a different Critical Decision  
process as compared to construction projects in that only the  
near-term baseline, normally five years, is approved at Critical  
Decision-2, along with approval to execute the cleanup project,  
Critical Decision-3. For the remaining life cycle (portion of  
project beyond the near-term), a reasonable cost range is  
determined.



Upon your approval of this memorandum, all Critical Decision authority for EM cleanup projects, including authority to approve supporting pre-requisite documents is delegated to the Assistant Secretary for Environmental Management, with the exception of Critical Decision-0, Approve Mission Need and Critical Decision-4, Approve Project Completion, where a transfer of landlord responsibility crosses Under Secretary organizational lines.

This delegation would not extend to EM's traditional non-cleanup projects (e.g., line item construction projects). Current AE authority levels defined in DOE Order 413.3A remain unchanged for these traditional projects.

RECOMMENDATION: Delegate to the Assistant Secretary for Environmental Management AE authority for approval of all Critical Decisions and associated pre-requisite documentation for EM cleanup projects, except for Critical Decisions 0 and 4 where landlord responsibility is transferred across Under Secretary organizational lines. The Assistant Secretary may further delegate AE authority for EM cleanup projects to any member of the Senior Executive Service, with the exception that Critical Decision-0 and the final Critical Decision-4 for a cleanup project may not be delegated below the Assistant Secretary level.

APPROVE:

DISAPPROVE:

DATE:

cc:

D. Spurgeon, Acting Under Secretary for Energy  
I. Kolb, Director, Office of Management

**U.S. Department of Energy  
Oak Ridge Operations  
Environmental Management**

**Procedure No. EM-1.1 Rev. 3  
Change Control Board Charter**

**Effective Date: TBD Page 13 of 33**

**APPENDIX C – PART 2**

**ENVIRONMENTAL MANAGEMENT ACQUISITION ADVISORY BOARD (EMAAB)  
CHARTER**



Department of Energy  
Washington, DC 20585  
December 28, 2006

RECEIVED  
OFFICE OF THE MANAGER  
1/3/07

MEMORANDUM FOR DISTRIBUTION

FROM:

JAMES A. RISPOLI *JA Rispoli*  
ASSISTANT SECRETARY FOR  
ENVIRONMENTAL MANAGEMENT

SUBJECT:

Configuration Management and Change Control Process  
for the Environmental Management Program

The Office of Environmental Management's (EM) configuration control process is being updated by this memorandum to ensure that any changes to program elements under configuration control that impact project baselines are approved at the appropriate level in accordance with Department of Energy (DOE) Order 413.3A, Program and Project Management for the Acquisition of Capital Assets. This memorandum supersedes the Assistant Secretary for Environmental Management (EM-1) memorandum of June 17, 2002, which established the EM Configuration Control Board (CCB). Effective with the issuance of this memorandum, the CCB is dissolved. A new EM Acquisition Advisory Board (EMAAB) has been established and will serve as an advisory board for critical decisions and baseline changes for all projects in which EM has Acquisition Executive (AE) authority in accordance with DOE Order 413.3A and the Deputy Secretary's "Delegation of Acquisition Executive Authority for EM Operating Projects," memorandum of October 3, 2005. Changes to baselines for which EM is not delegated AE authority will also be reviewed by the EMAAB for subsequent recommendation to EM-1 in support of DOE's Energy Systems Acquisition Advisory Board. A summary of change authorities for all projects is in DOE Order 413.3A and in the attached EMAAB Charter.

EM will also maintain configuration of program elements that affect performance measurement, budget structure, site interfaces, and regulatory agreements. Elements previously managed under the configuration control process including Performance Management Plans and Cleanup End States/Endpoints are no longer necessary since EM is managing baselines at the Project Baseline Summary (PBS) level instead of at the site level, and as such, have been incorporated into the elements listed below.

The program elements under EM configuration control are:

- Life-Cycle Cost
- Schedule
- Scope
- EM Performance Measures
- Toxic Substances Control Act Incinerator (TSCAI) Burn Plan
- Waste Isolation Pilot Plant (WIPP) Shipping Plan
- Savannah River Site (SRS) H-Canyon Nuclear Materials Processing Plan
- Contract Performance Incentives



- Regulatory Decision Documents
- Budget Execution
- PBS Structure
- Non-Labor Resource Funding

To ensure a single corporate process continues to be used for configuration control, all proposed changes to project baselines and other items under Headquarters configuration control will continue to be processed through the Integrated Planning, Accountability, and Budgeting System-Information System (IPABS-IS). The Baseline Change Tool system for processing changes has been renamed to the Change Request Tool (CRT) and updated to reflect the revised elements and the new approval authorities. Any changes to life-cycle cost, schedule, or scope which exceed the thresholds described in the EMAAB Charter shall be submitted as a Baseline Change Proposal (BCP) and processed by the EMAAB for consideration by the AE.

All other changes to elements under configuration control will be processed as an Other Change Request (OCR), which can be accessed through the CRT, and approved as follows: 1) because of their close ties to project scope and schedule, and the potential to impact other site baselines, any changes to EM Performance Measures, the TSCAI Burn Plan, the WIPP Shipping Plan, or the SRS H-Canyon Nuclear Materials Processing Plan shall be submitted to the EMAAB for approval by the Principal Deputy Assistant Secretary for Environmental Management (EM-2); 2) proposed changes to the PBS Structure (i.e., combining PBSs into a single project, creating a new PBS for a project, etc.) shall be submitted to the AE of the affected project; changes to the PBS structure for non-project PBSs (i.e., long-term stewardship, community and regulatory support, etc.) may be approved by the Deputy Assistant Secretary (DAS) for Program Planning and Budget; 3) the DAS for Acquisition and Project Management is authorized to approve OCRs for contract performance incentives; 4) the DAS for Regulatory Compliance is authorized to approve OCRs for regulatory decision documents required by sites prior to negotiating or entering into regulatory agreements; and 5) the DAS for Program Planning and Budget is authorized to approve OCRs for budget execution and non-labor resource funding.

The Office of Program Planning and Budget is responsible for maintaining configuration control of corporate information stored in IPABS-IS. Upon appropriate action, the signed BCP or OCR must be returned to the Office of Program Planning and Budget so that the final decision document can be scanned and entered in the CRT and the affected elements can be updated in IPABS-IS. Note: Any BCPs approved by an AE not at EM Headquarters (e.g., Site Manager) should also be forwarded for scanning and input into IPABS-IS. A revision to the Standing Operating Policies and Procedures Resource Management 1.1, Resource Management – Configuration Management Change Control Process for the Environmental Management Program, which reflects the new policy and implementing procedures, will be issued separately.

For this new process to be effective, it is critically important that the Field and the DASs maintain and contribute toward corporate awareness of changes to items under configuration control. For items being approved at the DAS level, the DAS is responsible for getting concurrence from the other DASs as appropriate to ensure that impacts to other project elements are understood, and to verify that sufficient resources are available to accommodate the proposed change.

If you have any further questions, please contact me at (202) 586-7709 or Mr. Jack Surash, Deputy Assistant Secretary for Acquisition and Project Management, at (202) 586-3867, or Mr. Mark Frei, Deputy Assistant Secretary for Program Planning and Budget, at (202) 586-8754.

Attachment

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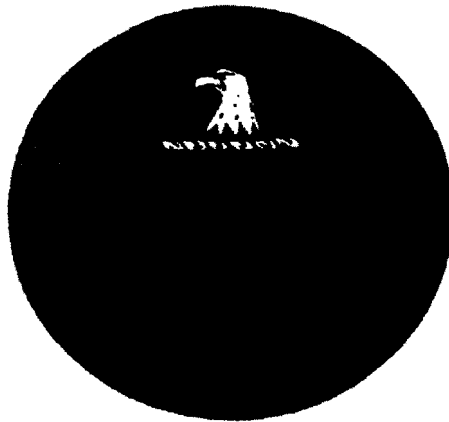
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James J. Fiore, Deputy Assistant Secretary for Human Capital and Business Services, EM-40  
Jack Surash, Deputy Assistant Secretary for Acquisition and Project Management, EM-50  
Dae Chung, Deputy Assistant Secretary for Safety Management and Operations, EM-60  
Ingrid Kolb, Director, Office of Management, MA-1

EMAAB Charter

# **Environmental Management Acquisition Advisory Board (EMAAB) Charter**

## **Office of Environmental Management**



Approved by:

  
Assistant Secretary  
Office of Environmental Management

EMAAB Charter

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**EMAAB Charter**

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**1.0 Purpose and Objective**

The purpose of this charter is to establish the Office of Environmental Management (EM) Acquisition Advisory Board's (EMAAB) process (an Energy Systems Acquisition Advisory Board (ESAAB) – equivalent process) for EM line item construction, EM cleanup projects, and selected subprojects greater than \$20M in accordance with the requirements established in DOE Order 413.3A, *Program and Project Management for the Acquisition of Capital Assets*.

The EMAAB board membership, acquisition executive authority, roles and responsibilities, and procedure including the interface with the Secretarial Acquisition Executive (SAE) and the Department of Energy's (DOE) Energy Systems Acquisition Advisory Board (ESAAB) are described in this document. The objective of this process is to ensure that informed, objective, timely, and documented decisions are:

- Made in a formal and auditable manner before resources are committed;
- Consistent with the requirements of DOE Order 413.3A, "*Program and Project Management for the Acquisition Management for the Acquisition of Capital Assets*;"
- Consistent with the requirements of the Deputy Secretary's memorandum of October 3, 2005, entitled "*Delegation of Acquisition Executive Authority for Office of Environmental Management Cleanup Projects*;"
- Planned early enough to allow Headquarters sufficient time to review the documentation and to avoid project schedule delays; and
- Integrate project, budget, financial management and acquisition systems and requirements.

**2.0 The Acquisition Executives (AEs)**

**2.1 Secretarial Acquisition Executive (SAE): Deputy Secretary (S-2)**

The Deputy Secretary (S-2) is the SAE for:

**Critical Decision (CD) Approvals**

- Line item construction projects with a Total Project Cost (TPC) of \$750M or more;
- EM cleanup projects with a life-cycle cost of \$1B or more;
- Any other project selected as a special interest project; and
- CD-4 approval of transfer of project(s)/site from EM to the National Nuclear Security Administration (NNSA) by signing a decision memorandum. A formal meeting of the ESAAB will not normally be held unless requested by an SAE or there is an unresolved transfer issue(s).

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**Performance Baseline Deviation Approvals (after CD-2 approval or baseline placed under EM configuration control)**

**All line item construction projects where:**

- An increase in excess of the lesser of \$25M or 25 percent (cumulative) of the original CD-2 cost baseline;
- A delay of six months or greater (cumulative) from the original completion date; and
- A change in scope that affects the ability to satisfy the mission need, an inability to meet a key performance parameter, or non-conformance with the current approved Project Execution Plan (PEP), which must be reflected in the Project Data Sheet.

**All EM cleanup projects where:**

- An increase in excess of the lesser of \$100M or 25 percent (cumulative) of the original CD-2 EM Total Cost Baseline (Performance Baseline);
- A delay of one year or greater (cumulative) from the original project completion date; and
- Any change in scope that affects the site end state.

The responsibilities of the SAE and the SAE ESAAB board membership are defined in DOE Order 413.3A in section 5, "Key Roles and Responsibilities" and are not covered in this charter.

**2.2 AE: Under Secretary for Energy (S-3)**

The Under Secretary for Energy (S-3) is the AE for:

**Critical Decision (CD) Approvals**

- Line item construction project with a TPC between \$100M and \$750M (projects between \$100M and \$400M have been delegated to EM-1);
- Any other line item construction project selected as a special interest project; and
- CD-4, approval of transfer of a project(s)/site to another Program Secretarial Office (PSO) (AE approval cannot be delegated below S-3) or organization by signing a decision memorandum. A formal meeting of the S-3 ESAAB equivalent will not normally be held unless requested by S-3 or there is an unresolved transfer issue(s).

**Performance Baseline Changes Approvals (after CD-2 approval or baseline placed under EM configuration control)**

- The performance baseline change approval thresholds for the Under Secretary will be documented in the PEP and established at a level below the SAE approval level.

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The responsibilities for the S-3 AE are defined in DOE Order 413.3A in section 5, "Key Roles and Responsibilities" and are not covered in this charter.

**2.3 AE: Assistant Secretary for Environmental Management (EM-1)**

The Assistant Secretary for EM (EM-1) is the AE for:

**Critical Decision (CD) Approvals**

- Line item construction projects with a TPC up to \$400M;
- EM cleanup projects with a life-cycle cost below \$1B;
- CD-0, approval of mission need statements for all line item projects below \$400M, EM cleanup projects below \$1B, and all construction subprojects within a cleanup project (CD-0 approval cannot be delegated below EM-1; however, the Principal Deputy Assistant Secretary (EM-2) can approve CD-0 when acting for EM-1); and
- May delegate AE responsibilities for line item construction projects below \$100M and cleanup projects below \$400M.

**Performance Baseline Change Approvals (after CD-2 approval or baseline placed under EM configuration control)**

- The performance baseline change approval thresholds will be documented in the PEP and established at a level below the Deputy Secretary and Under Secretary approval levels.

**2.4 AE: Principal Deputy Assistant Secretary (EM-2)**

The Principal Deputy Assistant Secretary for EM (EM-2) will serve as AE for specific projects delegated by EM-1 in writing as follows:

**Critical Decision (CD) Approvals**

- Line item construction projects with a TPC below \$100M; and
- EM cleanup projects with a life-cycle cost below \$400M.

**Performance Baseline Change Approvals (after CD-2 approval or baseline placed under EM configuration control)**

- The performance baseline change approval thresholds will be documented in the PEP and established below the Assistant Secretary level.

**2.5 AE: Other Senior Executive Service Managers**

Other Senior Executive Service Managers will serve as the AE for CD approvals and baseline change approvals, as defined in the PEP, for specific projects that have been delegated by EM-1 in writing.



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**3.0 EMAAB Board Members**

A standard EMAAB board and procedure at EM Headquarters will be followed. The EMAAB is an advisory board (not a voting board) to the AE, who has the authority and responsibility for approving or disapproving CDs and baseline changes. The EMAAB will consist of the following members/advisors:

|                           |   |
|---------------------------|---|
| <b>AE:</b>                | - EM-1 or EM-2/SES Manager as delegated   |
| <b>Permanent Members:</b> | <ul style="list-style-type: none"> <li>- Principal Deputy Assistant Secretary (EM-2)</li> <li>- Chief Operating Officer (EM-3)</li> <li>- Deputy Assistant Secretary (DAS) for Regulatory Compliance (EM-10)</li> <li>- DAS for Engineering and Technology (EM-20)</li> <li>- DAS for Program Planning and Budget (EM-30)</li> <li>- DAS for Human Capital and Business Services (EM-40)</li> <li>- DAS for Acquisition and Project Management (EM-50)</li> <li>- DAS Safety Management and Operations (EM-60)</li> <li>- Office Director for Project Management Oversight (EM-53)</li> <li>- MA-50 Office of Engineering and Construction Management</li> <li>- SC-81 Construction Management Support Division or</li> <li>- NA-56 Environmental Projects and Operations</li> <li>- GC-50 Office of General Counsel</li> </ul> |
| <b>Ad Hoc Members:</b>    | <ul style="list-style-type: none"> <li>- EM Office Safeguards and Security (EM-3.1)</li> <li>- Office Site Support and Small Sites (EM-3.2)</li> <li>- Office of Project Recovery</li> <li>- Office of Procurement Planning (EM-51)</li> <li>- Office of Contract and Project Execution (EM-52)</li> <li>- Office of Program Analysis and Evaluation (PA&amp;E) when CD-0 is being considered</li> <li>- Other organizations including a Field Office Representative as requested by the AE, Office of Legacy Management (LM), Office of Health, Safety and Security (HSS), Office of Management (MA), Office of the Chief Financial Officer (CFO), Office of Congressional and Intergovernmental Affairs (CI)</li> </ul>   |
| <b>Presenter:</b>         | - Federal Project Director (FPD)  |
| <b>Secretariat:</b>       | - Office of Project Management Oversight (EM-53)  |

Permanent members are required to attend all pre-EMAAB and EMAAB Board Meetings. Ad hoc members will be required to attend only those meetings that have a direct impact on their program. If the designated board member cannot attend the pre-EMAAB or EMAAB, a Cognizant Senior Level Manager can serve as an alternate.

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**4.0 EMAAB Roles and Responsibilities**

**4.1 AE (EM-1, -2, or HQ Senior Executive Service Managers)**

The AE is responsible for:

- Establishing a single HQ EMAAB Board;
- Chairing the EMAAB board meetings;
- Presiding over S-2 or S-3 ESAAB readiness review (pre-ESAAB);
- Assigning action items which may result from the EMAAB meetings;
- Making the final decision for CDs and baseline changes (the AE may dispose of an action without conducting a formal EMAAB meeting by signing the decision memorandum);
- Endorsing and submitting CD and Performance Baseline Deviations (PBDs) requests to S-2 or S-3 for final decision (EM-1 or designee);
- Approving the PEP;
- Approving Mission Need Statement (MNS) for all projects and construction subprojects, Acquisition Strategy (AS) and Integrated Project Team (IPT) Charter for all projects (EM-1 only);
- Signing the decision memorandum;
- Approving changes to the Project Baseline Summary (PBS) structure for all projects; and
- The Principal Deputy Assistant Secretary (EM-2) is responsible for approving changes to EM Corporate Performance Metrics, Toxic Substances Control Act Incinerator (TSCA) Burn Plan, Waste Isolation Pilot Plant (WIPP) Shipping Plan, and Savannah River Site (SRS) H-Canyon Nuclear Materials Processing Plan.

**4.2 EM Deputy Assistant Secretaries and Other EMAAB Members**

Permanent members and ad hoc members when participating in an EMAAB meeting are responsible for:

- Attending all pre-EMAAB and EMAAB meetings, or sending a knowledgeable alternate capable of advising the AE;
- Reviewing, commenting, and resolving issues on the CD or baseline change package prior to the EMAAB meeting or readiness review (Pre-ESAAB) meeting for S-2 or S-3 ESAAB with particular emphasis on the functions for which they have primary responsibility, including coordinating with their HQ functional organization counterparts, (i.e., the Office of Budget, Office of Procurement and Assistance Management, etc.), if necessary;
- Providing all comments in writing (memorandum or e-mail) to the Office of Project Management Oversight (EMAAB Secretariat); and

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- Discussing issues and concerns at the pre-EMAAB and the EMAAB meeting, if unable to resolve at the pre-EMAAB or prior to EMAAB meeting.

**4.3 Chief Operating Officer (EM-3) Responsibilities**

- Directs the FPDs to prepare EMAAB and ESAAB documents;
- Receives, coordinates the review, and finalizes all EMAAB and ESAAB documents, briefings, and memorandums; and
- Coordinates with the Office Deputy Assistant Secretary of Acquisition and Project Management (EM-50) on scheduling EMAAB and ESAAB meeting and resolving issues.

**4.4 Office of Project Management Oversight (EMAAB Secretariat)**

The Office of Project Management is responsible for:

- Administering the EMAAB process;
- Scheduling all pre-EMAAB and EMAAB meetings and all readiness review (pre-ESAAB for S-2 or S-3) meetings;
- Distributing copies of the briefing package to all pre-EMAAB, EMAAB, or readiness review members five working days prior to meeting;
- Maintaining a repository of all EMAAB and ESAAB packages including decision memorandums, briefings, key project documents (PEP, MNS, AS, etc.) and Field Manager's decision memorandums;
- Pre-briefing the AE on the CD/PBD/Baseline Change Proposal (BCP), if requested;
- Briefing the DAS for Acquisition and Project Management on EMAAB and ESAAB status throughout the process;
- Attending all pre-EMAAB, EMAAB, and readiness review meetings;
- Recording and distributing the minutes of the meetings within three calendar days;
- Coordinating and transmitting endorsed major system CDs and PBDs to the SAE Secretariat Office of Engineering and Construction Management (OECM) for processing;
- Coordinating and transmitting endorsed CDs and baseline changes to the S-3 Secretariat for processing;
- Providing assistance to the FPD/Integrated Project Team (IPT) in processing all CD/PBD or BCPs packages through the EMAAB, readiness reviews, S-3, and SAE ESAAB;
- Assisting OECM to prepare for the S-2 ESAAB meeting; and
- Implementing an EMAAB continual improvement process and issue lessons learned, as necessary.

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**4.5 Operations/Field Office Manager**

The Operations/Field Office Manager is responsible for:

- Reviewing and endorsing all EMAAB and ESAAB documents and packages prior to submitting to the EM Chief Operating Officer;
- Establishing and chairing an EMAAB equivalent board for projects and subprojects where they have AE authority;
- Developing an EMAAB equivalent charter and procedure;
- Providing guidance to the contractor(s);
- Providing the Office of Project Management Oversight a copy of all approved EMAAB equivalent board approved packages;
- Inviting the Office of Project Management Oversight to attend the Operations/Field Office EMAAB equivalent board meeting; and
- Pre-briefing the EM Chief Operating Officer and AE with the FPD prior to the EMAAB or ESAAB meeting with FPD, if requested.

**4.6 Federal Project Director (FPD)**

The FPD, with the assistance of the IPT, is responsible for:

- Preparing all required documents in support of a CD or baseline change proposal that is endorsed by the Operations/Field Manager and submitted to the Chief Operating Officer with a copy to the Office of Project Management Oversight;
- Preparing and presenting the CD or baseline change proposal briefing at the pre-EMAAB, EMAAB, readiness review (pre-ESAAB), and ESAAB;
- Pre-briefing the Chief Operating Officer and AE prior to the EMAAB or ESAAB meeting with Field Office Manager, if required;
- Responding to questions, comments, and concerns made at any of the meetings;
- Providing EMAAB Secretariat a detailed CD schedule of all activities required for CDs 1-3 as part of the CD-0 package; and
- Evaluating the impacts on the baseline (cost, schedule, and scope) caused by funding changes, procurement strategies, contract modifications, and changes made to EM HQ controlled items, such as the Waste Isolation Pilot Plant (WIPP) shipping schedule or the Toxic Substances Control Act (TSCA) burn plan, etc.

**5.0 Critical Decisions (CDs)**

A CD is a formal determination or decision point in a project that allows the project to proceed to the next phase and commit resources. CDs are discussed in DOE Order

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413.3A. EM utilizes a tailored approach in managing all of its projects based upon the risk, size, and complexity.

Partial or phased CD approval is allowable including a CD-3a for long-lead procurements to prevent schedule delays and should be documented in the AS, identified, and discussed during the initial CD meetings as part of the project's strategy and approved at CD-1. The budget request should be approved as part of the CD-1 package to ensure funds are available to support the long-lead procurement schedule. Proposed design/build projects should be documented in the AS, identified on the Project Data Sheet, and discussed during the initial CD meeting as part of the project's strategy to avoid delays. Additional information on design/build projects and project engineering and design funding is discussed in the OECM Report to Congress "DOE Implementation Procedures for EIRs and Project Engineering and Design Funding." Combined CD approvals for line item projects are normally not allowed; however, any exception must be discussed and endorsed by the Deputy Assistant Secretary of Acquisition and Project Management (EM-50) prior to the CD meeting.

For CD-4, transition/turnover to an organization outside of EM, a separate set of requirements and information must be prepared for the ESAAB. These requirements are established in the transition plan developed jointly by the receiving organization (LM, NNSA, Office of Science (SC)), and EM.

**6.0 Critical Decisions for Line Item Construction Projects**

- CD 0 – Mission Need
- CD 1 – Alternative Selection and Cost Range
- CD 2 – Performance Baseline
- CD 3 – Start Construction
- CD 4 – Start of Operations or Project Closeout

**7.0 "Projectizing" EM Cleanup Work**

EM will utilize the project management principles outlined in DOE Order 413.3A and DOE Manual 413.3A-1 on all of its activities including the life-cycle baselines as requested by the Deputy Secretary in his March 31, 2003, memorandum. Once the baselines are developed, the Office of Project Management Oversight will conduct a baseline review to determine if it is reasonable and executable and the readiness of the Field Office to implement and manage the baseline prior to an external independent review. Each site will be responsible for having a baseline validation review performed and OECM will conduct selected External Independent Review (EIR) as required in the June 30, 2005, joint memorandum signed by OECM and EM entitled "Protocol for EM Operations Funded Project Performance Baseline and their External Independent Review." Once the baselines have been validated by OECM, they are ready for a CD-2/3 ESAAB/EMAAB with either the SAE or AE. Monthly project assessment and reporting system reporting by EM cleanup project will be required through IPABS.

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**8.0 Critical Decisions for Cleanup Projects**

Environmental restoration and decontamination and decommissioning projects are driven by regulatory requirements in the Comprehensive Environmental Response, Compensation, and Liability Act or the Resource Conservation and Recovery Act. Therefore, the activities and project phases of EM work are not exactly the same as traditional construction projects.

Because the life-cycle baselines can extend well into the future, EM has divided these baselines into three parts. The first is the historical pre-baseline costs. This is the work that was completed prior to EM projectizing the PBS. No CDs are required for these activities. The second is the near-term baseline, which is the scope of work that is currently or planned to be under contract(s) at the site. This is the current execution portion of the life-cycle baseline, usually a five-year window, and requires a CD-2/3 approval and all of the supporting DOE Order 413.3A documents and requirements including an EIR. Each time the next five-year window or a new contract is awarded, the near-term baseline for that period has to be developed in detail. A new CD-2/3 will be required along with all of the DOE Order 413.3A documents and requirements including a new EIR. The third and last portion of the life-cycle baseline is the outyears of the life-cycle baseline. The EIR will review this part of the life-cycle baseline at a summary level for its reasonableness. This will also be part of the CD-2/3 approval process.

Due to statutory time limits, potential fines, extensive documentation requirements, and the nature of the CDs, the SAE/AE, subject to the approval of the PSO, and notification to OECM, may decide not to require a formal ESAAB/EMAAB meeting. The CD or baseline change will be disposed and documented by the SAE/AE in a decision memorandum.

When EM projects are completed, they will be transferred or turned over to other organizations within DOE (NNSA, SC, LM, etc.) or an outside organization (state, parks, etc.). EM and the receiving organizations have or will develop a transition plan, which is the key document required for CD-4 approval. All CD-4 transfers to another organization will be approved by S-2 or S-3.

**9.0 Performance Baseline Deviations (PBDs) and Baseline Change Proposal (BCP) Control**

All projects are required to obtain the SAE or AE approval on all PBDs that breach the thresholds defined in DOE Order 413.3A and identified in section 2 of this charter. The approval levels for all changes will be defined in the PEP. The SAE/AE can approve a deviation or change without holding a formal ESAAB/EMAAB meeting.

The Office of Program Planning and Budget established a change control process to manage the Program Baseline Summary (PBS) financial changes. That process and procedure for changing the PBS financial information is exclusive of this charter; however, funding changes may impact the life-cycle baseline and the FPD must consider and identify the impacts, if any on the scope, schedule, and cost of the near-term baseline

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and the life-cycle baseline. It is essential that the AE approve changes to the near-term baseline and life-cycle baseline prior to entry into EM's financial system.

EM Corporate Performance Metrics, TSCAI Burn Plan, WIPP Shipping Plan, and SRS H-Canyon Nuclear Materials Processing Plan will be modified by an Other Change Request (OCR) submitted to the EMAAB and approved by EM-2. Further guidance on this subject will be provided in a Standing Operating Policy and Procedure.

**Line Item Construction Projects:** The SAE is the approval authority for PBDs for all line item construction projects (major and non-major, \$20M and above) that breach the following thresholds as outlined in DOE Order 413.3A. PBD changes below the S-2 level have been delegated to S-3, who in turn can delegate responsibility to EM-1.

**Scope:** A change in scope that affects the ability to satisfy the mission need, an inability to meet a key performance parameter, or non-conformance with the current approved PEP, which must be reflected in the Project Data Sheet.

**Schedule:** A delay of six months or greater (cumulative) from the original completion date.

**Cost:** An increase in excess of the lesser of \$25M or 25 percent (cumulative) of the original CD-2 cost baseline.

**Congressional notification** may be required for changes that breach selected thresholds.

**Cleanup Projects:** The SAE is the approval authority for changes to the life-cycle baseline for cleanup projects that breach the following thresholds:

**Scope:** Any change in scope that affects the site end-state.

**Schedule:** A delay of one year or greater (cumulative) from the original project completion date.

**Cost:** An increase in excess of the lesser of \$100M or 25 percent (cumulative) of the original CD-2 EM Total Cost baseline.

The BCP thresholds are defined in the approved PEP and are project specific based upon size, complexity, risk, and other factors.

**Directed Changes:** Baseline changes caused by Congressional actions, such as a funding shortfall or the addition of new requirements, or HQ actions, such as a change in the WIPP shipping schedule or the TSCAI burn plan are called directed changes. These changes follow the change control process and are approved by the appropriate approval authority based upon the thresholds established in the PEP.

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**10.0 Records Management**

The EM correspondence center will maintain the official files of all ESAAB and EMAAB actions, and the Office of Project Management Oversight will maintain a working file for all ESAAB, EMAAB, and Field EMAAB equivalent actions. This includes briefings, decision memorandums, and key project documents like the AS, PEP, MNS, etc.

**11.0 Definitions**

**Acquisition Executive (AE):** The senior level manager with the authority to approve/disapprove CDs, PBDs, and BCPs for "Non-Major Line Item Construction and Operations Projects."

**Baseline Change Proposal (BCP):** BCP is a request from the FPD to make a change to the scope, cost, and/or schedule baselines of a project.

**Contractor Project Manager:** The Contractor Project Manager is generally from the Maintenance and Operation, the Architect-Engineer, or the Management and Integration Construction Management contractor organization assigned to direct the project, and is responsible and accountable for the day-to-day execution of assigned projects.

**Critical Decision (CD):** A CD is a formal determination or decision at a specific point in a project's life-cycle that allows the project to proceed to the next phase and commit resources (i.e., from conceptual design to preliminary design). The CDs are used as review points to ensure the project is ready to proceed into the next phase and remains a mission need.

**Deputy Assistant Secretaries (DASs):** DASs are responsible for managing the assigned program elements and supporting the PSO in the management of the overall EM program including providing advice to the cognizant EM AE.

**Energy Systems Acquisition Advisory Board (ESAAB):** The board which advises the SAE in his reviews and decisions on major systems projects CDs and PBDs. This is accomplished by utilizing DOE staff elements (e.g., GC, etc.) to review the project and provide advice to the SAE on the readiness of the project to proceed.

**ESAAB Readiness Review:** For all major systems, the PSOs or designee will conduct an ESAAB Readiness Review in preparation for forwarding the action to the SAE for approval. In such cases, the proposed CD or PBD will be reviewed by members of the EMAAB and staff members of the ESAAB (e.g., GC, SC, OECM, NNSA, Chief Financial Officer, etc.) to advise EM-1, and forward the action to the ESAAB for review and SAE approval. Any issues raised at the ESAAB Readiness Review should be resolved before the ESAAB meeting.



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**Environmental Management Acquisition Advisory Board (EMAAB):** The process by which the AE within EM reviews and decides on CDs, PBDs, and BCPs for "Non-Major Line Item Construction and Cleanup projects." The EMAAB Board is an advisory body to the AE and is comprised of EM DASSs and other non-EM personnel.

**Federal Project Director:** The FPD is the DOE employee assigned oversight of the project and the principal DOE interface with the Contractor Project Manager. The FPD is responsible and accountable for the project management activities of one or more discrete projects under the project manager's cognizance and is usually the single point of contact between the government staff and the contractor staff, or all matters relating to the project and its execution including preparing and presenting CD, PBD, and BCP actions to the SAE/AE.

**Field Elements:** These are organizations [i.e., Operations Office, Area Office, Management and Operating Contractor, and/or Management and Integrator Contractor] responsible for oversight of the project in the field.

**Major System Projects:** Any line item construction project or system of projects with a TPC of \$750M or greater, any operating project with a life-cycle cost of \$1B or more, or any other project or subproject designated by S-2. Projects may be classified as major systems either solely by S-2 or by S-2 in response to recommendations from the appropriate PSO or head of a Departmental Element, which are endorsed by S-3.

**Non-Major Projects:** All line item construction projects with a TPC less than \$750M, all operating projects below \$1B, and not designated as a major system project by the SAE.

**Office of Engineering and Construction Management (OECM):** This office is responsible for establishing DOE's project management requirements and is responsible for the ESAAB process and serves as the ESAAB Secretariat.

**Office of Project Management Oversight:** The office serves as the EMAAB Secretariat and is responsible for facilitating the EMAAB and Readiness Review process, and supporting OECM in the SAE ESAAB process.

**Performance Baseline Deviation (PBD):** Occurs when the current approved performance, scope, schedule, or cost parameters cannot be met. A request to change the cost, schedule, or technical baseline that requires the SAE/AE approval based upon predetermined thresholds that are established in the PEP.

**Performance Baseline (Total Cost Baseline):** The collective key performance, scope, cost and schedule parameters, which are defined for all projects. Performance Baseline includes the entire project budget (total cost of the project includes contingency and unfunded contingency) and represents DOE's commitment to Congress. (total cost for line item construction projects is the TPC identified on the Construction Data Sheet; for cleanup projects, it is the life-cycle cost, which is the sum of the projects costs prior to

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the current contract(s) plus the current contractor's performance measurement baseline, plus management reserve and maximum allowable fee, plus the remaining or outyears of the life-cycle costs including unfunded contingency and DOE schedule contingency).

**Projects:** Defined as unique efforts that support a program mission with defined start and completion end points, undertaken to create a product, facility, or system or operation with interdependent activities planned to meet a common objective or mission. Projects include planning and execution of construction, renovation, modification, environmental restoration or decontamination and decommissioning efforts, large capital equipment, characterization or technology development activities, and transporting and disposing of waste. Tasks that do not include the above elements such as Community and Regulatory Support, or placeholder PBSs such as Long-term Stewardship are not considered projects.

**Project Baseline Summary (PBS):** The summary description of a project in the Integrated Planning, Accountability, and Budgeting System. A PBS includes descriptive information about the project including the cost, schedule, scope, milestones and performance metrics. The PBS Structure is designed to provide a consistent numbering system for projects in the DOE complex. Additional information on PBS development is provided in the IPABS planning guidance.

**Program Office:** The advocate promoting the project, usually the HQ PSO. This is the organization that is responsible for the planning and oversight of the execution of the specific activities and missions that comprise the program.

**Program Secretarial Officer (PSO):** The head of the program organization that serves as AE for the EMAAB Board process.

**Secretarial Acquisition Executive (SAE):** S-2 is the designated SAE for the DOE and has the authority to approve/disapprove all CDs, PBDs, or BCPs for major systems.

## 12.0 References

- DOE Policy 413.1, Department of Energy Project Management Policy for Capital Assets;
- DOE Order 413.3A, Project Management for the Acquisition of Capital Assets;
- DOE Manual 413.3A-1 Project Management for the Acquisition of Capital Assets;
- S-2 Memorandum, October 3, 2005, "Delegation of Acquisition Executive Authority for Office of Environmental Management Operating Projects;"
- EM/OECM Memorandum, June 30, 2005, "Protocol for EM Operations Funded Project Performance Baselines and their External Independent Review."

## APPENDIX D

### EM-CCB MEMBERSHIP

#### General

Changes to member and alternate names will be confirmed and documented by EM-CCB action.

#### BOARD MEMBER

#### ALTERNATE

|  |                              |
|--|------------------------------|
| Deputy Assistant Manager for Operations and Administration | Deputy AM for Projects       |
| Deputy Assistant Manager for Projects                      | Deputy AM for Administration |
| ETTP Federal Project Director                              | As designated                |
| Melton Valley Federal Project Director                     | As designated                |
| Balance of Reservation Federal Project Director            | As designated                |
| ORO Representative of CFO                                  | As designated                |
| Bechtel Jacobs Company Deputy General Manager              | As designated                |
| Bechtel Jacobs Company Representative of CFO               | As designated                |
| Foster Wheeler/EnergX Deputy General Manager               | As designated                |
| Foster Wheeler/EnergX Business Manager                     | As designated                |

#### EM-CCB Chairperson

Deputy Assistant Manager for Operations and Administration

#### CONTRACTOR CCB SECRETARY

Bechtel Jacobs Company, LLC. Or Foster Wheeler/EnergX Representative in consultation with the responsible DOE staff.

#### DOE CCB Secretary

BMD Coordinator